Office of Small and Disadvantaged Business Utilization

Contracting with DOT: A Guide for Small Businesses

US Department of Transportation

Office of Small and Disadvantaged Business Utilization (OSDBU)

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Dear Entrepreneur,

Thank you for considering the U.S. Department of Transportation (DOT) for your future business opportunities. DOT is proud of the emphasis we have placed on the inclusion and promotion of small businesses (including veteran-owned, service disabled veteran-owned, HUBZone, disadvantaged, and women-owned businesses) in transportation-related contracting opportunities. We, at the Office of Small and Disadvantaged Business Utilization (OSDBU), are committed to offering support to our business customers and providing quality services and products.

To that end, OSDBU has developed various programs designed to assist you in your DOT-related marketing efforts. We have collected and assembled all the relevant information on our programs, points of contact, and background data in this current edition of Contracting with DOT. In this booklet you will find information on how to identify and pursue contracting opportunities with DOT. This information is organized under the following general headings: 1) Overview of DOT; 2) Overview of OSDBU; 3) Procurement Assistance Programs for Small Businesses; 4) Finding Opportunities and Selling to the Government; 5) Resources to Help Small and Disadvantaged Businesses; 6) Financing Opportunities for Small and Disadvantaged Businesses; and 7) Who to Contact for Further Information.

Inside you will also find information on our regional Small Business Transportation Resource Centers (which offer technical assistance and training to firms interested in obtaining transportation-related contracts) and our Short Term Lending Program (which provides small businesses access to revolving lines of credit to finance accounts receivable arising from transportation-related contracts). You will also find information and points of contact for the Disadvantaged Business Enterprise (DBE) program implemented by state and local transportation agencies, as well as a whole host of other valuable information on contracting with the federal government.

We encourage you to maintain access to the latest marketing and procurement information electronically by visiting our website at www.osdbu.dot.gov. In addition, you can contact our National Information Clearinghouse at 1-800-532-1169 where you can obtain program and procurement information, answers to specific questions, and marketing tips. All of us at OSDBU wish you success in your business endeavors. Please call on us if we can be of further assistance.

Sincerely,

US DOT/OSDBU

WWW.OSDBU.DOT.GOV

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Use of the Term "Small Business" in this Book

Unless specified otherwise, whenever the term "small business" is used in this book it refers to all of OSDBU's customers. These customers include Small Disadvantaged, 8(a), Historically Underutilized Business Zone (HUBZone), woman-owned, veteran-owned, and service disabled veteran-owned small businesses, as well as Disadvantaged Business Enterprises (DBEs). These different types of small businesses are discussed in Section III.

I. OVERVIEW OF DOT

I

The mission of the U.S. Department of Transportation (DOT) is to ensure that all ground, air, and water transport remain fast, safe, efficient, accessible, and convenient. As part of its efforts to fulfill this mission, DOT buys more than $4 billion annually in products and services. DOT contractors provide a wide variety of services (e.g., construction, information technology (IT), finance, and administration) and are involved in all aspects of the Department's mission (e.g., air traffic control, highway engineering, rail safety, hazardous materials, automobile, truck safety, and program administration). More information about the Department can be found at **www.dot.gov.**

DOT consists of eleven organizations with their own contracting authority: the Office of the Secretary of Transportation (OST) and ten Operating Administrations (OAs). Each of these has its own management and organizational structure. Most of the OAs are focused on a particular transportation mode (e.g., civil aviation; highways, mass transit) while others focus on particular activities (e.g., transportation research; pipeline safety). A short summary of the work performed by these OAs, as well as contact information is provided in Appendix A.

DOT CONTRACTING ORGANIZATIONS

- Office of the Secretary (OST)
- Federal Aviation Administration (FAA)
- Federal Highway Administration (FHWA)
- Federal Motor Carrier Safety Administration (FMCSA)
- Federal Railroad Administration (FRA)
- Federal Transit Administration (FTA)
- Maritime Administration (MARAD)
- National Highway Traffic Safety Administration (NHTSA)
- Pipeline and Hazardous Materials Safety Administration (PHMSA)
- Research and Innovative Technology Administration (RITA)
- Saint Lawrence Seaway Development Corporation (SLSDC)

II. OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION

II

Pursuant to the Small Business Act, DOT created an Office of Small and Disadvantaged Business Utilization (OSDBU) to ensure that small businesses are treated equitably and have an opportunity to compete and be selected for a fair amount of the agency's contract dollars. DOT's OSDBU (hereafter OSDBU) is comprised of four divisions, each with its own particular set of responsibilities:

- **Procurement Assistance Division –** works closely with DOT prime contractors, program, and procurement officials to ensure maximum practicable opportunities for small businesses to participate in DOT contracts and subcontracts. The division provides management oversight and serves as a liaison with the Small Business Administration (SBA) in administering the various programs implemented through the DOT procurement process.
- **Financial Assistance Division –** helps small businesses gain access to the financing they need to participate in transportation-related contracts. The division administers the Short-Term Lending Program (STLP), which offers financing at competitive interest rates to small businesses certified by the SBA and Disadvantaged Business Enterprises (DBEs). The STLP provides these firms with access to the capital they need to grow and compete in the transportation marketplace.
- **Regional Partnerships Division –** oversees the Small Business Transportation Resource Centers (SBTRCs) which provide small businesses at the state and local level with valuable information and technical assistance to become better prepared to compete for federal, state, and local transportation contracts.
- **National Information Clearinghouse –** where small businesses can obtain program and procurement information, answers to questions, and marketing tips by calling our toll-free number: 1-800-532-1169.

More information on each of the programs within these divisions is provided in Sections V and VI. For up-to-date information on OSDBU's divisions and other services (e.g., Procurement Forecast; "Transportation Link" newsletter; News via Email), check out the OSDBU website at **www.osdbu.dot.gov.**

MISSION OF DOT's OSDBU

- Ensure that small business policies and goals of the Secretary of Transportation are implemented in a fair, efficient and effective manner to serve small businesses;
- Implement DOT's activities on behalf of small businesses, including businesses owned and controlled by disadvantaged individuals in accordance with Sections 8, 15, and 31 of the Small Business Act, as amended; and
- Provide opportunities, technical assistance, and financial services to the small business community.

III. PROCUREMENT ASSISTANCE PROGRAMS FOR SMALL BUSINESSES

III

Below is some basic information that will help you to learn about contracting with DOT and other federal agencies as a small business.

A. Small Business Procurement Goals

To ensure that small businesses receive a portion of federal procurements, Congress established the following yearly goals for the percentage of contract dollars that should be directed toward different types of small business:

- 23 percent of prime contracts for small businesses;
- 5 percent of prime and subcontracts for small disadvantaged businesses;
- 5 percent of prime and subcontracts for woman-owned small businesses;
- 3 percent of prime contracts for HUBZone small businesses; and
- 3 percent of prime and subcontracts for service-disabled veteran-owned small businesses.

One of the Small Business Administration's (SBA) responsibilities is to ensure that these government-wide goals are met. To fulfill this responsibility, SBA negotiates goals with federal agencies (including DOT) to establish individual agency goals. Each year DOT works to meet or exceed its procurement goals. In fact, as demonstrated by the chart on the following page, DOT significantly exceeded its small business procurement goals in each of the last three years.

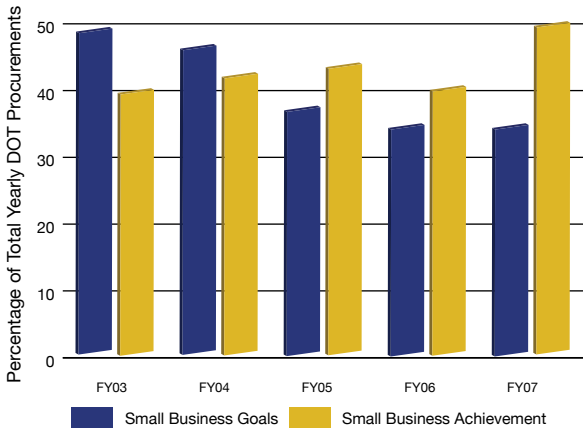
For Fiscal Year 2007, DOT's departmental small business prime contracting goals included:

- 35.3 percent for small businesses;
- 14.0 percent for SDBs and 8(a) firms;
- 5.0 percent for women owned small businesses;
- 3.0 percent for HUBZones; and
- 3.0 percent service-disabled veteran-owned small businesses.

In September 2008, SBA issued its second Small Business Procurement Scorecard (Scorecard). Once again, DOT received the SBA's highest rating for advancing small business procurement opportunities across all goal areas.

More information on the Small Business Procurement Scorecard, can be found at **www.sba.gov/aboutsba/sbaprograms/goals/index.html**

Historical DOT Small Business Procurement Goals and Achievements



B. Eligibility for Small Business Preference Programs

As discussed above, DOT and the other federal agencies establish annual goals for awarding contracts to small businesses. To help achieve these goals, the federal agencies use several preference programs authorized by the FAR. However, to be eligible for these programs, a firm must demonstrate that it is a "small business."

WHAT IS THE FAR?

Small businesses are encouraged to become familiar with the Federal Acquisition Regulation (FAR) before attempting to pursue federal contracts. The FAR is codified in Title 48 of the Code of Federal Regulations (CFR) and sets forth the requirements of contractors for selling to the government, as well as the rules for proposals and for the payment of invoices.

Part 19 of the FAR governs "Small Business Programs." Under Part 19, small businesses are given preferences to participate in federal procurements, such as those initiated by DOT OAs. Some of these preferences are discussed in subsections III-C-1 through III-C-6 of this book.

The FAR can be found at: **www.acqnet.gov/FAR/**

The FAR is supplemented at DOT by the Transportation Acquisition Regulation (TAR) and the Transportation Acquisition Manual (TAM). The TAR establishes uniform acquisition policies and procedures which implement and supplement the FAR. The TAM is issued by DOT's Senior Procurement Executive and establishes for the Department, uniform internal operating acquisition procedures, which implement the FAR, TAR, and other agency regulations and statutory requirements.

Links to the TAR and TAM can be found on DOT's Acquisition and Financial Assistance Management web site at **www.dot.gov/ost/m60**

The FAR is also supplemented at the Federal Aviation Administration (FAA) by the Acquisition Management System (AMS). AMS establishes policy and guidance for all aspects of lifecycle acquisition management and defines how the FAA manages its resources – money, people, and assets - to fulfill its mission. The AMS can be found at: **http://fast.faa.gov**

1. DEFINITION OF A "SMALL BUSINESS"

A "small business" may be a sole proprietorship, partnership, corporation, or any other legal form. However, to be eligible for small business preferences, the legal entity must meet the following criteria:

- Is organized for profit;
- Has a place of business in the United States;
- Makes a significant contribution to the U.S. economy by paying taxes or using American products, materials or labor; and
- Does not exceed the numerical size standard for its industry (see Table A on following page).

SBA uses the North American Industry Classification System (NAICS) to determine small business size standards. Table A presents SBA's "general" size standards – meaning that a business in one of the listed industry groups is usually considered "small" by SBA if its number of employees or average yearly revenue over three years is not greater than the size standard indicated. However, in some cases, a particular industry within an industry group may have a higher size standard than the group as a whole. This means that a business in that particular industry may exceed the general size standard for its industry group and still be considered "small." Businesses should consult the SBA's "Table of Small Business Size Standards Matched to North American Industry

Classification System Codes" to determine the size standard for a specific industry.

Table A: Small Business Size Standards for Transportation Related Industries

A business in one of the following industry groups is small if its size is not greater than:*

Industry Group	Size Standard
Construction	
General building and heavy construction	$33.5 million
Special trade construction	$14.0 million
Manufacturing	500 employees
Mining	500 employees
Retail Trade	$7.0 million
Air Transportation:	1,500 employees
Rail Transportation – Line-Haul Railroads	1,500 employees
Rail Transportation – Short Line Railroads	500 employees
Water Transportation	500 employees
Truck Transportation	$25.5 million
Pipeline Transportation of Crude Oil &	1,500 employees
Refined Petroleum Products	
Pipeline Transportation of Natural Gas	$7.0 million
Transit and Ground Passenger Transportation	$7.0 million
Support Activities for Transportation	$7.0 million
Port & Harbor Operations	$25.5 million
Marine Cargo Handling	$25.5 million
Services	$6.5 million
Computer programming, data processing & systems design	$23 million
Wholesale Trade	100 employees

*Size standards refer to average number of employees or revenues over a 3-year period. [Source: www.sba.gov/services/contractingopportunities/sizestandardstopics/summarywhatis/index.html]

More information on the SBA definition of a "small business" and the SBA size standards can be found at: **www.sba.gov/services/contractingopportunities/sizestandardstopics/size/index.html**

2. STEPS REQUIRED OF SMALL BUSINESSES TO DO WORK WITH THE FEDERAL GOVERNMENT

To become eligible for a small business preference, a firm must:

- Acquire a Data Universal Numbering System (DUNS) identification number;
- Register on the Central Contractor Registration (CCR) system; and
- Complete the Online Representations and Certification Application (ORCA).

Each of these steps is free of charge and is discussed immediately below.

a. Acquiring a DUNS Identification Number

A Dun & Bradstreet (D&B) DUNS number is a unique nine digit sequence recognized as the universal standard for identifying and tracking over 100 million businesses worldwide. It is mandatory to have a DUNS number before registering your small business in the CCR.

HELPFUL HINT

To obtain a DUNS number, contact D&B at either (888) 814-1435 or **www.dnb.com/us/**

b. Registering a Firm in the CCR System

The CCR is the primary vendor database for the federal government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions. Only those vendors registered in the CCR are eligible to receive federal contracts.

The CCR also provides access to the SBA's database of small business contractors, the Dynamic Small Business Search (DSBS). The DSBS allows government buyers to research potential contractors and evaluate the small business community's capacity to perform certain work. Vendors can also connect to the DSBS to identify small businesses as potential teaming partners or subcontractors.

Vendors receiving payments under DOT contracts, purchase orders, delivery orders, or other contractual vehicles must be registered in the CCR. Information in the CCR must be accurate in order for contractors' invoices or contract financing requests to be considered proper for the purpose of prompt payment under DOT contracts.

More information on CCR or DSBS can be found at **www.ccr.gov.**

c. Completing ORCA

HELPFUL HINT

Small businesses are encouraged to create a one-page capability statement and provide it to OSDBU and the DOT Small Business Specialists for each OA and office (contact information for the Small Business Specialists is provided in Section V-A-2).

ORCA is an electronic system which replaces paper-based representations and certifications that were required in solicitations. Effective January 1, 2005, the FAR mandated prospective contractors to complete electronic annual representations and certifications via ORCA when registering in CCR. It is necessary to have an active CCR record and a Marketing Partner ID from CCR when registering in ORCA.

More information on how to register onto ORCA can be found at **https://orca.bpn.gov.**

Please note that SBA does not certify a firm as a small business – though it does provide such certification for particular types of small business (i.e., HUBZone, 8(a)).

C. Preferences for Different Types of Small Business

Small businesses owned by socially and economically disadvantaged individuals, women, or service-disabled veterans can qualify for additional preferences in federal procurement. Government agencies are required by law to award a percentage of contracts to small businesses. Agencies also set procurement goals for small, disadvantaged, HUBZone, woman-owned and service-disabled veteran-owned small businesses.

To qualify as a small disadvantaged, woman- or service-disabled veteran-owned business, a company must fit the definitions set out by the SBA. These definitions are discussed in the subsections below. Companies can be certified in more than one category if the owner fits more than one definition, e.g., small disadvantaged and woman-owned business.

The following small business certifications and goals apply to DOT's direct contracting program. They are implemented under the authority of the Small Business Act and the FAR. These do not apply to the DOT's DBE program discussed later on in this section.

1. SMALL DISADVANTAGED BUSINESSES (SDB)

An SDB is a small business that is at least 51% owned and operated by one or more persons considered socially and economically disadvantaged. SBA rules consider someone "socially disadvantaged" if they have been subjected to prejudice or bias based on their racial or ethnic identity. Individuals are seen as "economically disadvantaged" if their ability to compete in the economy has been impaired due to diminished capital and access to credit.

The SBA certifies SDBs to make them eligible for beneits in federal procurement.

African Americans, Native Americans, Hispanic Americans, Asian Pacific Americans and Subcontinent-Asian Americans are presumed to qualify. However, members of other groups may ask the SBA to certify them as socially and economically disadvantaged based on their particular circumstances. The SBA considers these requests on a case-by-case basis. All individuals must have a net worth of less than $750,000 excluding the equity of the business and primary residence.

SBA has a yearly government-wide goal that at least 5% of federal procurement dollars will be awarded to SDBs. As indicated by the FY 2007 Scorecard, DOT exceeded this goal – providing 19.3% to SDBs.

More information on the SDB program can be found on the SBA website at **www.sba.gov/aboutsba/sbaprograms/sdb/index.html**

2. 8(a) BUSINESSES

Some certified small disadvantaged businesses may also qualify to participate in the SBA's 8(a) Business Development Program (so named because the program's authority is found in Section 8(a) of the Small Business Act). The 8(a) program helps small disadvantaged businesses compete in the federal and private sectors.

The focus of the program is to provide business development support, such as mentoring, procurement assistance, business counseling, training, financial assistance, surety bonding, and other management and technical assistance.

The major advantage of this program is that it allows the government to contract, on a noncompetitive basis, up to $3.5 million ($5 million for manufacturing NAICS) per contract with 8(a) certified firms. Businesses

must meet eligibility requirements established by the SBA each year including pre-established 8(a) vs. non-8(a) revenue mixes.

DOT has obtained special authority from the SBA to negotiate directly with 8(a) firms on the behalf of SBA, which helps expedite to contract award process.

Two Stages of Participation in the 8(a) Program

- **Developmental Stage –** designed to help 8(a) certified firms overcome their economic disadvantage by providing access to assistance in expanding their business and fostering meaningful business relationships. This period covers years one through four of a firm's participation.
- **Transitional Stage –** designed to help program participants become more effective in both the large business and government sector market in dealing with complex business deals and to prepare them for post 8(a) program expansion and development (formal certification is required by the SBA). This period occurs from the fifth through the ninth year of the firm's participation in the program.

More information about the 8(a) program can be found on the SBA website at **www.sba.gov/aboutsba/sbaprograms/8abd/index.html**

Steps for Participating in the SDB and/or 8(a) Program(s)

- Register in the CCR system (see Section III-B-2 above).
- Register for an account in the SBA's General Log-in System (GLS): **https://eweb.sba.gov/gls/dsp_addcustomer.cfm?IMAppSysTypNm=8ASDB**
- Download and submit a notarized authorization form: **https://sba8a.symplicity.com/applicants/certification.pdf.**
- Log-in to the 8(a)/SDB application through GLS: **https://eweb.sba.gov/gls/dsp_login.cfm?.**
- Complete and submit the application form.

3. WOMAN-OWNED SMALL BUSINESSES (WOSB)

To qualify as a WOSB, a small business concern must meet the following two conditions:

- At least 51% owned by one or more women, or, in the case of any publicly owned business, at least 51% of the stock of which is owned by one or more women; and
- Management and daily business operations are controlled by one or more women.

The federal government does not require formal certification for women-owned small businesses that are bidding as prime contractors on federal procurements. If a business meets the two conditions stated above, that business can "self-certify." Should a WOSB status be challenged upon procurement award, the procuring agency may request proof of the firm's WOSB status.

In 1994, Congress established a government-wide goal that WOSBs be awarded at least 5% of the total value of all prime contract and subcontract awards for each FY – even though there are no set-aside procurement programs awarding a contract to a WOSB. In FY 2007, DOT awarded 10.4% of its prime and subcontracts to WOSBs.

More information about WOSB programs can be found on the SBA website at **www.sba.gov/aboutsba/sbaprograms/onlinewbc/index.html**

4. HISTORICALLY UNDERUTILIZED BUSINESS ZONE (HUBZONE) BUSINESSES

The HUBZone program stimulates economic development and creates jobs in urban and rural communities by providing federal contracting preferences to small businesses. These preferences go to small businesses that obtain HUBZone certification from the SBA.

To receive such certification, the firm must fill out an application that demonstrates that the firm meets the following criteria:

- It is a small business by SBA standards;
- It is owned and controlled at least 51% by U.S. citizens, a Community Development Corporation, an agricultural cooperative, or an Indian tribe;
- Its principal office is located within a HUBZone, which includes lands considered "Indian Country" and military facilities closed by the Base Realignment and Closure Act; and
- At least 35% of its employees reside in a HUBZone.

The HUBZone certification application can be found at: **https://eweb1.sba.gov/hubzone/internet/general/dsp_enter_application.cfm**

Besides determining which businesses are eligible to receive HUBZone contracts, the SBA maintains a listing of qualified HUBZone small businesses that federal agencies can use to locate vendors and adjudicates protests of eligibility to receive HUBZone contracts.

Federal law requires federal agencies to award at least 3% of their annual procurement budgets to HUBZone businesses. In FY 2007, DOT more than doubled this goal – providing 7.6% of its procurement dollars to HUBZone businesses.

IS YOUR BUSINESS IN A HUBZONE? More information on HUBZones can be found on the SBA website at **eweb1sp.sba.gov/hubzone/internet/index.cfm** Check out the map at: **map.sba.gov/hubzone/init.asp**

5. SERVICE-DISABLED VETERAN-OWNED SMALL BUSINESSES (SDVOSB)

DOT strongly supports the use of veteran-owned firms as contracting resources. An SDVOSB is a business that is at least 51 percent owned and operated by one or more service-disabled veterans. If a veteran has a permanent service connected disability and the firm is run by a spouse or permanent caregiver, the firm can still qualify for this status.

As with small businesses in general, the SBA places the responsibility for certifying whether a business is a SDVOSB on the firm itself. To be seen as a SDVOSB, the firm must self certify that: 1) at least 51% of the business is owned by one or more service-disabled veterans, and 2) management and daily business operations are controlled by one or more service-disabled veterans.

Self-certification for SDVOSBs can be supported by the presentation of a Defense Department Form 214 which states the owner has a service-connected disability and a letter of adjudication from the US Department of Veterans Affairs (VA).

Contracts are awarded through a sole-source or set-aside based on competition restricted to SDVOSBs. The program guidelines are documented in FAR 19.1405 and 19.1406.

More information on the SDVOSB Program can be found on the VA website at: **www.vetbiz.gov/**. Also, FAR 19.14 provides details of the program at **www.arnet.gov/far/current/html/Subpart%2019_14.html.**

6. VETERAN-OWNED SMALL BUSINESSES (VOSB)

To qualify as a VOSB, a business concern must be at least 51% owned by one or more eligible veterans; or, in the case of any publicly-owned business, at least 51% of the stock is owned by one or more veterans, and whose management and daily business operations are controlled by such veterans. While there is no mandated goal for VOSBs, large prime contractors are required to include VOSBs in their subcontracting plans.

The Center for Veterans Enterprise (CVE) in the VA provides services free to anyone who served in the active military, naval, or air service, and who was discharged or released under conditions other than dishonorable. These free services include providing:

- Vendor Information Pages (VIP);
- Assistance Program Pages (APP); and
- Business Coaching, Networking, and Outreach.

Each of these services is discussed in more detail below.

CVE Services
Vendor Information Pages (VIP) – a veteran business database that lists businesses that are 51% or more owned by veterans or service-connected disabled veterans. VIP averages over 4,500 visits per month accounting for over 4,100 vendor searches by federal agencies, prime contractors and private citizens. This database is also the primary source for all inquiries for market research requested through CVE and VA. VIP is located at **www.vip.vetbiz.gov/.**

Assistance Program Pages (APP) – an electronic clearinghouse that provides a wealth of resources for the veteran contemplating small business ownership and veteran small business owners considering expansion. This database of professional business development organizations provides assistance in startup, financing, and procurement, in addition to other areas within your local community. APP provides a one stop resource center for veterans interested in business ownership that can be found at **http://app.vetbiz.gov/.**

Business Coaching, Networking, and Outreach – In-house experts help veteran business owners with specific business questions, brainstorming, and counseling. For information, call toll free at 866-584-2344 or send an email to VACVE@va.gov.

Table B below summarizes the certification responsibilities and procedures for each small business set-aside program.

Table B: Certification Requirements for Different Types of Small Business at the Federal Level*

Type of Small Business	Entity Responsible for Certification	Certification Procedure (if applicable)
General small business	Self-certification	Register firm on CCR Complete ORCA
SDB, 8(a), and HUBZone	SBA	Complete application form on the SBA website
WOSB	Self-certification	None
SDVOSB	Self-certification	Be able to produce a DD-214 if contested, as well as receive disability rating from VA

*There is also a small business program for Disadvantaged Business Enterprises, where certification is the responsibility of state and local governments – not the federal government. This program is discussed in Section III-D.

D. U.S. Department of Transportation Disadvantaged Business Enterprise (DBE) Program

1. HOW THE DOT DBE PROGRAM WORKS

The DBE program is unique to the transportation sector and covers contracts let by state highway agencies, airports, transit authorities, and other state and local agencies that receive DOT funds. DOT provides substantial financial assistance to state and local transportation agencies (recipients) for their highway, transit and airport projects. Recipients of funds from FAA and FTA must have a DBE program if they plan to award contracts exceeding $250,000. All recipients of FHWA funds must have a DBE program.

The overall objective of the DBE program is to ensure nondiscrimination in the award and administration of DOT-assisted contracts in the Department's highway, transit, and airport financial assistance programs. The DOT DBE program is implemented using guidelines set forth at Title 49 CFR Parts 23 and 26.

Goals for utilization of DBEs are developed by recipients of DOT funds based on the availability of DBEs and other factors. These goals may be included in contracts and/or subcontracts that are financed by DOT funds. Only firms that have been certified as DBEs can be counted to meet these goals.

What is a DBE?

DBEs are for-profit small business concerns in which socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations.

African Americans, Hispanics, Native Americans, Asian-Pacific and Subcontinent Asian Americans, and women are presumed to be socially and economically disadvantaged. Other individuals can also qualify as socially and economically disadvantaged on a case-by-case basis.

To be regarded as economically disadvantaged, an individual must have a personal net worth that does not exceed $750,000. To be seen as a small business, a firm must meet SBA size criteria AND have average annual gross receipts not to exceed $20.41 million. Size limits for the airport concessions DBE program are higher.

DOT tells the recipients to give priority to race-neutral methods to meet these goals. To the extent that the goals are not met, then recipients use contract specific goals as appropriate. The level of DBE subcontracting goals may vary from their approved DBE goal; however, at the end of the year, the amount of contract/subcontract awards to DBEs should be consistent with the overall goal.

To participate in the program, a small business owned and controlled by socially and economically disadvantaged individuals must receive DBE certification from their relevant state or local transportation agency – generally through the state's Uniform Certification Program. This is NOT a federal certification and is NOT applicable to federal contracts. Firms should contact their state DBE or UCP to learn more about applying for DBE certification. A list of state DBE contacts can be found in Appendix B.

2. ROLE OF STATE AND LOCAL TRANSPORTATION AGENCIES

As recipients of DOT financial assistance, state and local transportation agencies are responsible for:

- Certifying the eligibility of DBE firms to participate in their DOT-assisted contracts;
- Establishing narrowly-tailored goals for the participation of disadvantaged entrepreneurs; and
- Evaluating their DOT-assisted contracts throughout the year and establishing contract-specific DBE subcontracting goals as necessary to achieve the overall goal of the agency.

What is the Uniform Certification Program (UCP)?

The purpose of the UCP is to provide "one-stop shopping" to DBE applicants. Under this program, a firm applies one time with the state certification agency, and if approved, that certification is shared by all other recipients of federal highway, transit, and airport improvement financing in that state.

Federal and state contacts, including the UCPs for the DBE Program are provided in Appendix B. More information about the DBE Program can be found on the OSDBU website at: **www.osdbu.dot.gov/DBEProgram/**

3. ROLE OF US DOT

DOT is responsible for:

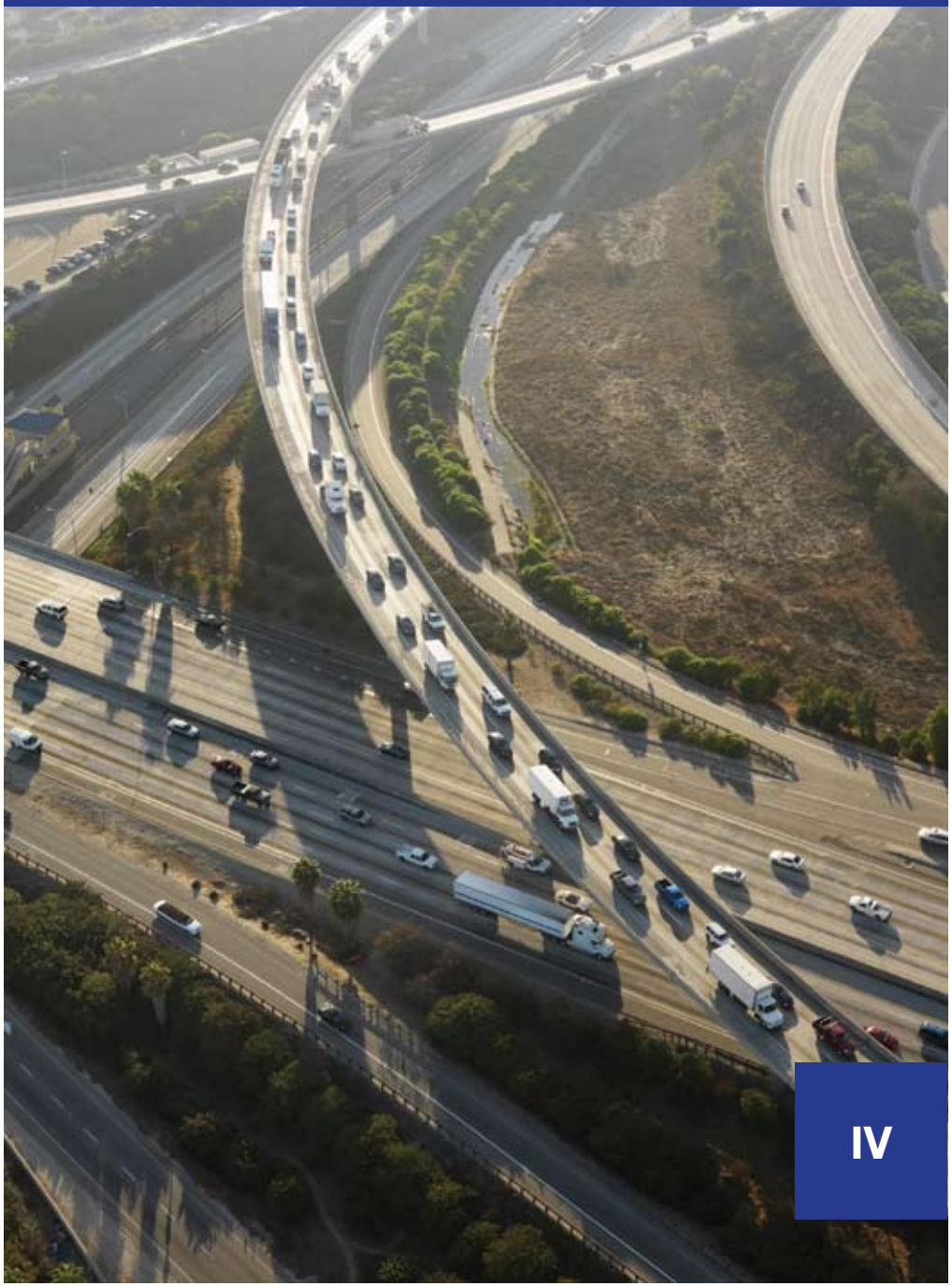
- Developing the rules and regulations for the national DBE program;
- Providing guidance and conducting oversight to make sure that these rules and regulations are followed by the recipients of DOT funds; and
- Considering appeals from state/local certification decisions.

Distinction Between Direct Contracting Small Business Preferences and the DBE Program

When a DOT OA (with the exception of the FAA) needs a service and/or a product, the procurement falls under the purview of the FAR (a discussion of the FAR is provided in Section III).

The DOT DBE Program, on the other hand, is governed by DOT guidelines set forth in Title 49 CFR Parts 23 and 26 and does not involve DOT providing a preference to small businesses when it procures a good or service. Rather, the requirement is placed on state or local transportation agencies when they are the recipients of federal financial assistance, aid, or grants. When those agencies need to procure a good or service, they must follow DOT guidelines and provide preferences to certified DBEs.

IV. FINDING OPPORTUNITIES AND SELLING TO THE GOVERNMENT



IV

A. Major Contract Vehicles

The acquisition process begins when an agency decides to seek goods or services from the private sector. The three most frequently used procurement methods utilized by the federal contracting community are:

- Open Market Acquisitions (Unrestricted, and various small business set-aside competitions including 8(a) set-asides, are performed under this procurement method);
- Purchase Card Programs; and
- Orders from pre-existing contracting vehicles such as the U.S. General Services Administration (GSA) Federal Supply Schedules.

In addition, all small businesses should consider partnering with other firms to sell to the federal government; i.e., “subcontracting.” These different contract mechanisms are discussed in more detail immediately below.

B. Open Market Acquisitions

1. OVERVIEW

Federal agencies, including DOT, can buy from outside vendors in a variety of ways (e.g., sole source, small business set-aside); however, open competition is the most common method of awarding contracts. Competition among multiple companies for federal procurement helps ensure that the government will obtain the highest quality work at the best value.

Open market federal solicitations are published at FedBizOpps.gov, the federal government’s procurement portal, which lists procurements worth $25,000 or more. Companies wishing to compete for an open market contract must submit a bid or proposal to do the work. The agency then selects the best offer and awards the contract to the successful firm.

What is FedBizOpps?

Federal Business Opportunities (FedBizOpps) is the primary location to identify active federal contract opportunities (including DOT opportunities) over $25,000. FedBizOpps allows you to search for federal procurement opportunities and receive automatic email announcements on those same procurements as soon as they are announced. FedBizOpps can be accessed on the web at either **www.fbo.gov or www.fedbizopps.gov**

2. SMALL BUSINESS SET-ASIDES

The Small Business Set-Aside Program helps assure that small businesses are awarded a fair proportion of government contracts by reserving (i.e., "setting aside") certain government purchases exclusively for participation by small business concerns. Set-asides can be for small businesses generally or for particular types of small business (e.g., 8(a); SDVOSB). The determination to make a small business set-aside is usually made unilaterally by the Contracting Officer (CO).

Under the set-aside program, every acquisition of supplies or services that has an anticipated dollar value between $2,500 and $100,000 is automatically reserved exclusively for small businesses. However, every set-aside must meet the "Rule of Two," which requires that there must be a reasonable expectation that offers will be obtained from two or more small business concerns that are competitive in terms of market prices, quality, and delivery. If only one acceptable offer is received from a responsible small business concern in response to a set-aside, the CO is required to make an award to that firm. If no acceptable offers are received from responsible small business concerns, the set-aside will be withdrawn and the product or service, if still valid, will be solicited on an unrestricted basis.

HELPFUL HINT

Small businesses are encouraged to respond to Sources Sought notices so that the contracting agency can evaluate whether there are two responsible firms to bid on the project – and thereby help ensure that the proposed procurement is set aside for small businesses. Contracting agencies post their Sources Sought notices on FedBizOpps.

For contracts over $100,000, a CO is required to set it aside if there is a reasonable expectation that offers will be obtained from at least two responsible small business concerns offering the products of different small business concerns and

that award will be made at fair market prices. In many cases, a CO will issue a "Sources Sought" asking for small businesses to respond with a brief written statement of their qualifications to provide a particular good or service. If the CO determines that the "Rule of Two" is met, the procurement will be set aside. Please note that a contracting agency can set aside a procurement for small businesses in general or for a particular type of small business (e.g., HUBZone; SDVOSB).

3. SOLE SOURCE PROCUREMENTS

The government may also award a contract to a company without holding a competition. This kind of award is called "sole source" and is available to all vendors, but only under special circumstances set out in federal law. As with all open market acquisitions, small businesses can identify active set-aside opportunities and learn about both set-aside and sole source awards through FedBizOpps.

4. DOT PROCUREMENT FORECAST

One of your best sources for learning about DOT open market opportunities is the DOT Procurement Forecast, which is issued by the first day of each fiscal year (October 1st). The DOT Procurement Forecast provides information on anticipated procurements over the simplified acquisition threshold ($100,000). Maintained as a dynamic database, the Procurement Forecast can be searched by quarter, industry category, OA and key words. This Forecast is an essential tool for any small business interested in contracting with DOT. The DOT Procurement Forecast is for informational and marketing purposes only and does not constitute a specific offer or commitment by the DOT to fund, in whole or in part, any of its planned procurements.

More Information on the DOT Procurement Forecast is found at: **www.osdbu.dot.gov/Procurement/** The DOT Procurement Forecast provides information on potential opportunities for each of the DOT OAs, with the exception of FAA. FAA issues its own FAA Procurement Forecast, which is located at **www.sbo.faa.gov/sbo/ProcurementForecast.cfm**

C. Purchase Card

Federal government agencies began using the purchase card in the late 1980's as a way to acquire small-dollar items in a more efficient manner than open market acquisitions. DOT (like many other federal agencies) established a Purchase Card Program (also known as Credit Card

Program), which requires the use of the purchase card for all "micro-purchases;" i.e., any authorized purchase that does not exceed $3,000.

Under the DOT Purchase Card Program, purchase card holders can go directly to the supplier or service provider for their micropurchase need. CCR registration for purchase card vendors is not mandatory and purchase card holders are required to rotate sources when acquiring goods and services under the DOT Purchase Card Program.

D. GSA Schedules

Federal agencies often select potential vendors from the GSA Schedules, also referred to as Multiple Award Schedules or Federal Supply Schedules. Administered by the U.S. General Services Administration (GSA), the schedules deliver millions of commercial supplies and services at volume discount pricing to government purchasers.

Whether your firm sells everyday items like cleaning supplies, or provides specialized services like language translation or event planning, the schedules likely have a contract category that fits your business. To be listed on the GSA Schedules, contractors must offer to sell their products or services to the government at what the GSA considers to be a "fair and reasonable price." Federal agencies throughout the government may then buy from the vendor at the schedule-listed price or ask listed vendors to compete for specific procurements.

The GSA Schedules are one of the largest contracting tools in the federal government. Becoming a schedule contractor requires a multi-step process, usually taking several weeks to complete. GSA offers free workshops on obtaining schedule contracts—many tailored to small businesses.

More information about GSA Schedules can be found at **www.gsa.gov.**

E. Subcontracting

To strengthen their proposals and bids, firms can partner with other companies that have a government contract or are bidding as a prime contractor. Smaller companies often fill niches that complement a prime contractor's services. Large firms bidding on contracts valued at $500,000 or more ($1 million for construction) must submit an acceptable subcontracting plan that sets percentage (based on the contract's total value) and dollar goals for the award of subcontracts to small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone, small disadvantaged business and women-owned small business concerns.

Subcontracting can present small businesses with opportunities that might otherwise be unattainable because of limited resources, staffing, capital, or experience. OSDBU works closely with SBA and its Procurement Center Representatives (PCRs) to coordinate policy direction and develop new initiatives on subcontracting issues:

- OSDBU and the SBA PCRs evaluate, review, and make recommendations on subcontracting plans; and
- OSDBU also helps large prime contractors in identifying potential small businesses to assist them in attaining their subcontracting goals.

More than 50% of DOT subcontracting opportunities are awarded to small business, and prime contractors report their achievements annually and semi-annually using the electronic subcontracting reporting system, www.eSRS.gov. See the next page for more information on the role of PCRs.

OSDBU's Procurement Assistance Division is responsible for compiling and publishing the DOT Subcontracting Directory. This Directory is published as a marketing aid for small businesses to participate in DOT procurements as subcontractors. The Directory provides the names and addresses of major DOT prime contractors with approved subcontracting plans. It also provides contact information for each of the company's subcontracting liaison representative, as well as a description of the project or items to be subcontracted. Small businesses should contact the company's subcontracting liaison representative who can advise you on how your firm can join their subcontracting vendor's team. In addition, the SBA also has a Subcontracting Network Website called Sub-Net that is used by prime contractors to post subcontracting opportunities.

The DOT Subcontracting Directory is posted at **www.osdbu.dot.gov/procurement/subcontracting_directory.cfm**

Sub-Net is located at: **web.sba.gov/subnet/search/**

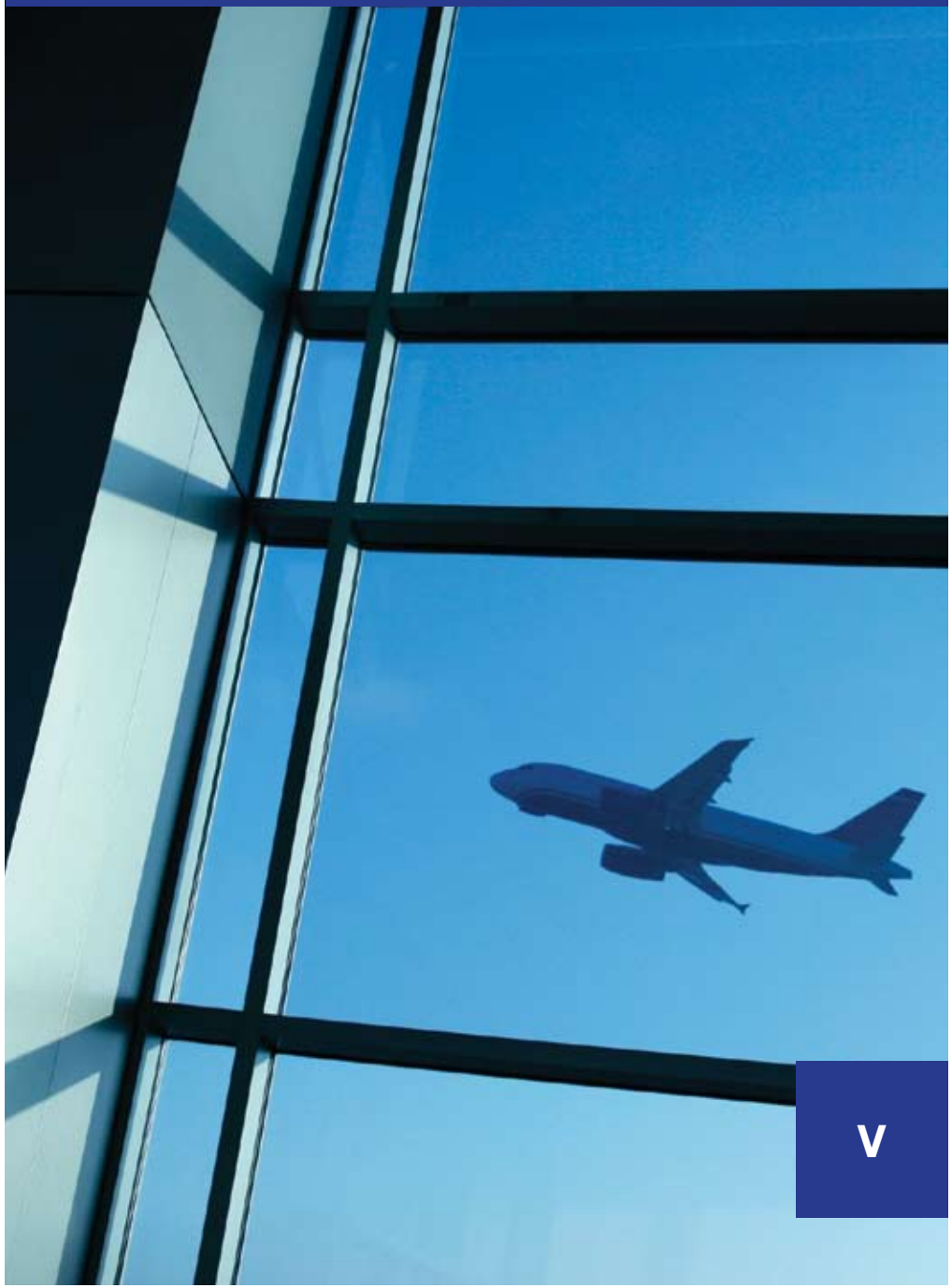
What are the Responsibilities of the SBA PCRs?

The SBA may assign one or more PCRs to any contracting activity or contract administration office, such as an OSDBU office, to carry out SBA policies and programs. PCRs are required to comply with the contracting agency's directives governing the conduct of contracting personnel and release of contract information. PCR roles and responsibilities include:

- Reviewing proposed acquisitions to recommend set-asides not unilaterally set-aside by the Contracting Officer (CO);
- Working closely with the Small Business Specialists and Program Office Personnel;
- Assisting in the development of appropriate language for solicitations for small business considerations;
- Providing oversight, recommendations and advice on the acquisition process in both pre- and post-award situations; and
- Recommending newly qualified small, small disadvantaged, 8(a), women-owned, HUBZone, veteran-owned, and service-disabled veteran-owned small business sources to federal agencies seeking their type of service or product.

More information on the current PCR Directory can be found on the SBA website at **www.sba.gov/aboutsba/sbaprograms/gc/contacts/gc_pcrd1.html.**

V. RESOURCES TO HELP SMALL AND DISADVANTAGED BUSINESSES



V

A. DOT Resources

1. OSDBU'S NATIONAL INFORMATION CLEARINGHOUSE (NIC)

THE NIC SERVES AS A CENTRAL POINT OF CONTACT FOR THE DISSEMINATION OF:

- Program and procurement information;
- Procurement forecasts;
- Forms, data, public laws, and orders; and
- Other similar information of interest.

OSDBU BUSINESS SPECIALISTS PROVIDE COUNSELING ON A VARIETY OF ISSUES INCLUDING:

- How to market DOT for contracting opportunities;
- How to become certified under the DOT DBE program;
- The basic procedures of government contracting; and
- The appropriate points of contact at the federal, state and local levels.

For specific requests that require the assistance of small business specialists, the NIC customer service representatives will transfer calls to one of the OSDBU business specialists with the appropriate expertise. OSDBU's business specialists are committed to responding to inquiries with courteous and prompt service within one business day.

Three Options for Contacting the NIC:

Call OSDBU's dedicated toll-free number:
1-800-532-1169

Email OSDBU through the Customer Feedback link of the OSDBU Website:
www.osdbu.dot.gov/about/feedback.cfm; or

Draft a letter to OSDBU and mail to:
U.S. Department of Transportation
Office of Small and Disadvantaged Business Utilization
1200 New Jersey Avenue, SE, W56-485
Washington, DC 20590

2. DOT'S SMALL BUSINESS SPECIALISTS

Once you've had an opportunity to learn about the process of contracting with DOT at the general level from OSDBU, you should then contact individuals at each of the department's OAs.

OSDBU's Procurement Assistance Division is responsible for working closely with each of the OA's Small Business Specialists to ensure that adequate procurement opportunities are made available to small businesses. Below is a listing of small business specialists in each OA whose primary role is to serve as advocates to the small business community and to promote the allocation of procurement opportunities to the various small business programs within their specific OA.

FAA Room 715 800 Independence Avenue, SW, Washington, DC 20591	**Inez C. Williams** Phone: (202) 267-8881 Email: inez.williams@faa.gov **Frederick Dendy** Phone: (202) 267-7454 Email: fred.dendy@faa.gov
FHWA Room W36-320 1200 New Jersey Avenue, SE Washington, DC 20590	**Frank Waltos** Phone: (202) 366-4205 Email: frank.waltos@fhwa.dot.gov
FMCSA Room W66-326 1200 New Jersey Avenue, SE Washington, DC 20590	**Sonya Harmon (acting)** Phone: (202) 385-2316 Email: sonya.harmon@dot.gov
FRA Room W34-304 1200 New Jersey Avenue, SE Washington, DC 20590	**Dana L. Hicks** 202-493-6131 dana.hicks@dot.gov
FTA Room C42-318 1200 New Jersey Avenue, SE Washington, DC 20590	**Ledra Post** Phone: (202) 366-2502 Email: ledra.post@dot.gov

MARAD
Room W26-421
1200 New Jersey Avenue, SE
Washington, DC 20590

Rita C. Thomas
Phone: (202) 366-2802
Email: rita.thomas@dot.gov

NHTSA
Room W51-125
1200 New Jersey Avenue, SE
Washington, DC 20590

Lloyd Blackwell
Phone: (202) 366-9564
Email: lloyd.blackwell@nhtsa.dot.gov

OST
Office of the Secretary
Acquisition Services Division
Room W83-492
1200 New Jersey Avenue, SE
Washington, DC 20590

Phaedra Johnson
Phone: (202) 366-0742
Email: phaedra.johnson@dot.gov

PHMSA
Room E22-230
1200 New Jersey Avenue, SE
Washington, DC 20590

Eric Hilton
Phone: (202) 366-3845
Email: eric.hilton@dot.gov

RITA-Headquarters
Office of the Secretary
Acquisition Services Division
Room W83-492
1200 New Jersey Avenue, SE
Washington, DC 20590

Phaedra Johnson
Phone: (202) 366-0742
Email: phaedra.johnson@dot.gov

RITA-Volpe
Acquisition Management Division, RTV-6D
Volpe National Transportation Systems Center
Room 1-11-48
55 Broadway
Cambridge, MA 02142

Kristen Laggis Pedroli
Phone: (617) 494-2389
Email: kristen.pedroli@volpe.dot.gov

RITA Small Business Innovation Research Program
Volpe National Transportation Systems Center
Room 1-12-56
55 Broadway
Cambridge, MA 02142

Joseph Henebury
Phone: (617) 494-2051
Email: joseph.d.henebury@volpe.dot.gov

SLSDC
PO Box 520
Massena, NY 13662

Patricia White
Phone: (315) 764-3236
Email: patricia.white@sls.dot.gov

3. SMALL BUSINESS TRANSPORTATION RESOURCE CENTERS (SBTRC)

The SBTRCs are operated by OSDBU's Regional Partnership Division in an effort to increase the number of small businesses that are prepared to compete for, and enter into, transportation-related opportunities. Their purpose is to offer a comprehensive delivery system of business training, technical assistance, and dissemination of information targeted toward transportation-related small business enterprises within their regional areas.

OSDBU has entered into cooperative agreements with:

- Business-centered community-based organizations;
- Transportation-related trade associations;
- Colleges and universities;
- Community colleges; and
- Chambers of commerce

to establish SBTRCs on a national basis. Firms are encouraged to contact the SBTRC that covers your state to take advantage of the valuable services offered. (see regions and contacts on Table C on the following page).

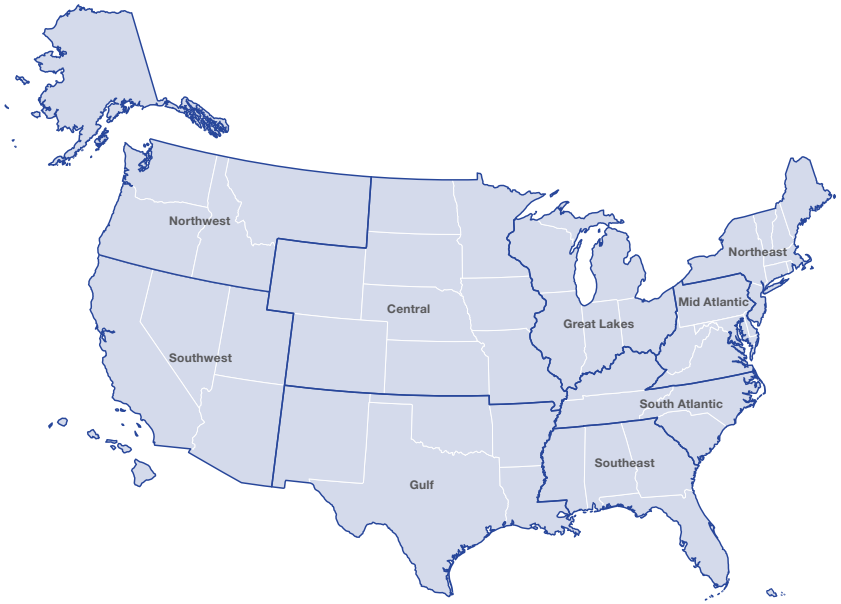


Table C: Regions and Contacts for the SBTRCs

Northwest Region – Alaska, Idaho, Montana, Oregon, Washington

Economic Development Council of Snohomish County
728 134th St., SW, Suite 128
Everett, WA 98204

Lily Keeffe, Project Director
Phone: (425) 248-4222
Fax: (425) 745-5563
Email: lkeeffe@snoedc.org

Southwest Region : Arizona, California, Hawaii, Nevada, Utah

US Pan Asian American Chamber of Commerce
275 5th Street
San Francisco, CA 94103

Carrolyn Kubota, Project Director
Phone: (415) 348-6262
Fax: (415) 541-8588
Email:carrolyn@uspaacc.com

Central Region : Colorado, Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, Wyoming

University of Missouri-Columbia
W1026 Lafferre Hall
400 South 6th Street
Columbia, Missouri 65211

Charles Nemmers, Executive Director
Phone: (573) 882-0071
Fax: (573) 882-9931
Email: nemmersc@missouri.edu

Gulf Region : Arkansas, Louisiana, New Mexico, Oklahoma, Texas

Greater Dallas Hispanic Chamber of Commerce
4622 Maple Ave., Suite 207
Dallas, Texas 75219-1101

Diana L. Flores, Project Director
Phone: (214) 523-3432
Fax: (214) 520-1687
Email: diana@gdhcc.com

Great Lakes Region : Illinois, Indiana, Michigan, Ohio, Wisconsin

Hispanic American Construction Industry Association
901 W. Jackson Blvd., Suite 205
Chicago, Illinois 60607

Jackie Gomez, Project Director
Phone: (312) 666-6070
Fax: (312) 666-5692
Email: jgomez@haciaworks.org

South Atlantic Region : Kentucky, North Carolina, South Carolina, Tennessee

North Carolina Agricultural and Technical State University
Rm 402 Craig Hall
The Transportation Institute
NC A&T State University
1601 E Market St.
Greensboro, NC 27411

George C. Jones, Jr., Project Director
Phone: (336) 256-2111
Fax: (336) 334-7093
Email: gcjones@ncat.edu

Southeast Region : Alabama, Florida, Georgia, Mississippi, Puerto Rico, US Virgin Islands

Miami Dade College - Homestead Campus
500 College Terrace, Office B230
Homestead, Florida 33160

Adrianna Clark, Project Director
Phone: (305) 237-5115
Fax: (305) 237-5108
Email: aclark1@mdc.edu

Mid Atlantic Region : Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

Greater Philadelphia Minority Business Strategic Alliance
105 N. 22nd St., 2nd Floor
Philadelphia, Pennsylvania
19103-1302

Tiffany L. King, Project Director
Phone: (215) 399-0062
Fax: (215) 399-0063
Email: tking@gpmbsa.com

Northeast Region : Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont

LaGuardia Community College
31-10 Thompson Avenue
Long Island City, NY 11101

Elizabeth Perdomo, Project Director
Phone: (718) 482-5941
Fax: (718) 609-2036
Email: eperdomo@lagcc.cuny.edu

For more information on the SBTRC program, visit our website or contact:

Regional Partnerships Division
Office of Small and Disadvantaged Business Utilization
W56-462
1200 New Jersey Ave., SE,
Washington, DC 20590

Arthur D. Jackson, Manager
Phone: (202) 366-5344
Fax: (202) 366-7228
Email: art.jackson@dot.gov

Patricia Martin, Program Analyst
Phone: (202) 366-5337
Fax: (202) 366-7228
Email: patricia.martin@dot.gov

4. SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM

Congress established the SBIR Program to encourage the initiative of the private sector, stimulate technological innovation, and utilize small and disadvantaged businesses as effectively as possible in meeting federal research and development (R&D) needs. In November 1982, the Secretary of Transportation chose the Volpe Center to direct the Department's SBIR Program due to its extensive background in innovative programs.

The Volpe Center, through DOT's SBIR website, solicits eligible small businesses to submit innovative research proposals that address high priority requirements of the Department and have the potential for commercialization. Businesses are eligible if they meet the following criteria:

- The business is American-owned and independently operated;
- It is operated for-profit;
- The principal researcher is employed by the business; and
- The company size is limited to fewer than 500 employees.

There are Three Phases to the DOT SBIR Program:

- **Phase I: The conducting of feasibility-related experimental or theoretical research or Research and Development (R&D) efforts on specified research topics.** The dollar value of the proposal should not exceed $100,000 and the period of performance may be up to six months. The primary basis for award will be the scientific and technical merit of the proposal and its relevance to DOT requirements. (Only Phase I awardees are eligible to participate in Phase II).
- **Phase II: This phase is the principal research or R&D effort having a period of performance of approximately two years with a dollar value of up to $750,000.** DOT will accept Phase II proposals under the SBIR Program only from firms which have previously received a DOT Phase I award. Awards would be based upon the results achieved in Phase I, the technical merit of the Phase II proposals, potential for commercialization and commitment for follow-on funding from non-federal sources for Phase III.
- **Phase III: This phase is to be conducted by the small businesses with non-federal funds to pursue commercial applications of the research or R&D funded in Phases I and II by the Department.** Phase III may also involve follow-on non-SBIR funded contracts with components of DOT for products or processes for use by the government.

More information on the SBIR program can be found at **www.volpe.dot.gov/sbir**

B. Additional Government Agency and Private Sector Resources

Following is a listing of key resources outside of DOT that are available to the small business community to provide information and assistance for doing business with the government.

1. ACQUISITION CENTRAL

Acquisition Central is a one-stop source sponsored by the federal government for information on federal contracting. This web site offers information and links to government acquisition systems and regulations that is of interest to firms that want to contract with the federal government. Table D lists the various systems and information sources that are available on the web site.

Table D: Data Accessed Through Acquisition Central

Shared Systems	Information Sources
Central Contractor Registration (CCR);	Federal Acquisition Regulation (FAR);
Excluded Parties List System (EPLS);	Acquisition Advisory Panel (SARA Panel);
Electronic Subcontracting Reporting System (eSRS);	Acquisition Center of Excellence (ACE) for Services;
Federal Business Opportunities (FBO or FedBizOpps);	Agency Supplemental Regulations;

The Acquisition Central site is located at: **www.acqnet.gov**

Table D: Data Accessed Through Acquisition Central (continued)

Shared Systems	Information Sources
Federal Technical Data Solutions (FedTeDS); Online Representations and Certifications Application (ORCA); Past Performance Information Retrieval System (PPIRS); VETBIZ.gov; and Wage Determinations Online (WDOL)	Civilian Agency Acquisition Council (CAAC); Code of Federal Regulations (CFR); General Services Acquisition Manual (GSAM); 7 Steps to Performance Based Services Acquisition Guide; and Federal Agency Procurement Forecasts.

2. FEDERAL OSDBU DIRECTORS

Each major department and agency of the federal government has an Office of Small and Disadvantaged Business Utilization or Office of Small Business Programs with a mission similar to DOT's OSDBU.

More information and an up-to-date list of contact information for each of these OSDBUs can be found at: **www.osdbu.gov**

3. MINORITY BUSINESS DEVELOPMENT CENTERS

The U.S. Department of Commerce's nationwide network of Minority Business Development Centers (MBDCs) counsel minority businesses on accounting, administration, business planning, inventory control, negotiations, referrals, networking, construction contracting and subcontracting, marketing, and SBA's 8(a) certification to participate in minority designated contracting opportunities with the federal government.

MBDCs provide managerial and technical assistance for bonding, bidding, estimating, financing, procurement, international trade, franchising, acquisitions, mergers, joint ventures, and leveraged buyouts. MBDCs facilitate the formation and expansion of minority-owned firms and help generate new opportunities.

Locations of the MBDCs are subject to change annually. Please visit the MBDA website for the MBDC Regional or District Office in your immediate area: **www.mbda.gov**

4. DEPARTMENT OF DEFENSE (DOD) PROCUREMENT TECHNICAL ASSISTANCE CENTERS (PTACS)

The Procurement Technical Assistance Centers (PTAC) program was established by Congress in 1985 to assist state and local governments and other private nonprofit entities in establishing or maintaining PTAC activities to help firms market their goods and services to the DoD. In 1991, the PTAC program was extended to offer assistance to firms wishing to market to any federal agency.

PTACs are funded by the DoD Defense Logistics Agency (DLA) and local or state funding, and the services are largely free to businesses. PTACs are on the local scene and give day-to-day professional guidance and assistance to business firms who wish to market their products and/or services to federal agencies. The assistance is available through telephone calls, correspondence, or personal discussions.

More information on the PTAC program can be obtained by calling the DLA's Defense OSDBU Office at 703-277-7750 or visiting **www.dla.mil/db/procurem.htm**

5. SCORE

The SCORE Association (Service Corps of Retired Executives) is a resource partner of the SBA dedicated to entrepreneur education and the formation, growth and success of small businesses nationwide. There are more than 10,500 SCORE volunteers in 374 chapters operating in over 800 locations who assist small businesses with business counseling and training. SCORE also operates an active online counseling initiative.

More information on the services provided to small businesses and where you can find an office near you can be found at **www.score.org**

6. SBA'S SMALL BUSINESS DEVELOPMENT CENTERS (SBDC)

SBDCs offer one-stop assistance to individuals and small businesses by providing a wide variety of information and guidance in central and easily accessible branch locations. The program is a cooperative effort of the private sector, the educational community and federal, state and local governments. It enhances economic development by providing small businesses with management and technical assistance. There are 63 Lead SBDCs - one in every state (Texas has four, California has six), the District of Columbia, Guam, Puerto Rico, Samoa and the U.S. Virgin Islands—with a network of more than 1100 service locations.

More information on the SBDC program can be found at **www.sba.gov/aboutsba/sbaprograms/sbdc/index.html**

VI. FINANCING OPPORTUNITIES AT DOT FOR SMALL AND DISADVANTAGED BUSINESS

VI

A. Short-Term Lending Program (STLP)

An integral program that OSDBU's Financial Services Division manages to help small businesses gain access to the financing they need to participate in transportation contracts is the Short-Term Lending Program (STLP). The STLP provides certified DBEs and other certified small businesses with short-term working capital at competitive interest rates for DOT or DOT-funded contracts and subcontracts.

1. FIRMS THAT CAN PARTICIPATE IN STLP

The types of businesses that are eligible to receive a line of credit through STLP are:

- Firms that have received DBE certification from a state or local transportation agency (More information on DBEs is provided in Section III-D); and
- Firms that have been certified by the SBA as an 8(a), SDB, HUBZone, or SDVOSB.

INSIDE ADVICE

Businesses not eligible to receive an STLP line of credit and should contact the SBA for information about other possible forms of financial assistance

2. TYPE OF WORK COVERED BY STLP

The STLP provides revolving lines of credit to finance accounts receivable arising from "transportation-related contracts." "Transportation-related contracts" meet the following criteria:

- Work involves the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nation's modes of transportation; and
- Work is for any public or commercial provider of transportation of any federal, state or local transportation agency.

The primary collateral for the lines of credit consist of accounts receivable arising from the contracts or subcontracts being financed. These lines of credit can be extended to both prime and subcontractors with the maximum line of credit up to $750,000.

3. USE OF STLP FUNDS

These funds are to be used only to meet the short-term costs of performing the contract(s) being financed. The STLP cannot be used for:

- Contract mobilization;

- Equipment purchases or other long-term uses;
- Refinancing of existing debt;
- Payment of non-current taxes; or
- Distributions or other payments to stockholders.

4. ADMINISTRATION OF STLP LINES OF CREDIT

Lines of credit are managed by OSDBU through cooperative agreements between DOT and banks who have agreed to be Participating Lenders (PLs) in the STLP. The final line of credit approval is made by both the PLs and DOT.

5. RESPONSIBILITIES OF PARTICIPATING LENDERS

Loan documentation and financing transactions are performed directly by the PLs. The funds are borrowed against each invoice of the contract(s) being financed – up to 85% of the invoice total. Each invoice is paid directly to the PL (otherwise referred to as "assignment of funds") by the Project Owner or Prime Contractor via a two-party check addressed to the Lender and the Borrower. The PL then deducts the payment amount, including interest payments, and remits the remaining balance to the Borrower through their checking and/or savings account. (See Table E for a list of PLs.)

HELPFUL HINT

How To Calculate the Interest Rate on STLP Line of Credit:

Step 1: On the first day of each calendar month, determine the current prime interest rate (as published in the Wall Street Journal).

Step 2: Add 2 percentage points to that rate.

6. TERMS OF THE LINES OF CREDIT

Normally, the line of credit covers a one-year period. The applicant has the option of requesting one or more renewals; however, the line of credit cannot exceed five years. The PL has the option of providing the line of credit for less than one year. The line of credit amount can be increased during the term if the applicant obtains additional transportation contracts. Applicants can choose whether they want to set up a checking or savings account with the PL to access their line of credit.

7. APPLICATION PROCEDURES

Loan applications may be downloaded from the STLP page of the OSDBU website: osdbu.dot.gov/financial/docs/stlp.pdf. The information required on the loan application includes:

- Business and personal financial statements (3 years);
- Business and personal income tax returns (3 years);
- Cash flow projections (1 year);
- Current Accounts Receivable and Accounts Payable;
- Company profile;
- Resumes of company's officers;
- Current Personal Financial Statement (dated & signed);
- Certification that all taxes are current;
- A minimum of 3 business references;
- Current proof of Certification;
- Business formation documents;
- Copies of transportation-related contract(s); and
- Current work-in-progress report.

Applicants are strongly encouraged to consider utilizing the services of DOT's SBTRCs as possible sources for assistance or guidance in preparing application packages. Completed applications may be forwarded to OSDBU or directly to the PL.

FOR MORE INFORMATION ON STLP:

Phone: 1-800-532-1169
Email: STLPinfo@dot.gov

Nancy Strine, Manager, Financial Assistance Division
U.S. Department of Transportation
Office of Small and Disadvantaged Business Utilization
Room W56-485
1200 New Jersey Ave., SE
Washington, DC 20590

Phone: (800) 532-1169 or (202) 366-1930
Fax: (202) 366-7228
Email: nancy.strine@dot.gov

Table E: List of Participating Lenders

Note: Please consult the OSDBU website for updated information on Participating Lenders and/or contact persons: www.osdbu.dot.gov/financial/stlp.cfm#banks

Citizens Trust Bank 75 Piedmont Avenue Atlanta, GA 30303 www.ctbconnect.com/	**Farrand Logan,** **Vice President, Commercial Lending** Phone: (404) 575-8333 Fax: (404) 575-8340 Email: farrand.logan@ctbatl.com **Fred Daniels,** **Senior Vice President** Phone: (404) 575-8331 Email: fred.daniels@ctbatl.com **Lynnette Crosslen** **Loan Operations Assistant Manager** Phone: (404) 575-8286 Email: lynnette.crosslen@ctbatl.com
Continental National Bank of Miami 240 East Flagler St. Miami, FL 33131 www.continentalbank.com	**Amaury Betancourt,** **Vice President** Phone: (305) 642-2440 Fax: (305) 551-9034 Email: ABetancourt@continentalbank.biz
Legacy Bank 2102 West Fond du Lac Avenue Milwaukee, WI 53206 www.legacybancorp.com	**Ramona Moore,** **Vice President** Commercial Lending Phone: (414) 343-3010 Fax: (414) 343-6910 Email: rmoore@legacybancorp.com
First International Bank 1912 Avenue K Plano, TX 75074 www.fibtx.com	**David Mok,** **Vice President,** **Commercial Loan Officer** Phone 972-578-7777 ext 2475 Fax: 972-422-7144 Email: dmok@fibtx.com

Adams National Bank
1130 Connecticut Ave., NW
Suite 200
Washington, DC 20036
www.adamsbank.com

Susan Banks,
Vice President, Commercial Lending
Phone: (202) 772-3721
Fax: (202) 835-3871
Email: sbanks@adamsbank.com

Cardinal Bank
1776 K Street, NW
Washington, DC 20006
www.cardinalbank.com

Kathy Speakman,
Vice President, Commercial Lending
Phone: (202) 331-3957
Fax: (202) 659-6589
Email: Kathryn.speakman@cardinalbank.com

South Carolina Community Bank
1545 Sumter Street
Columbia, SC 29201
www.sccommunitybank.net

Deborah Dawson,
Senior Vice President & Senior Lender
Phone: (803) 733-8100 ext. 1114
Toll Free: 1-866-696-5577
Fax: (803) 733-8125
Email: ddawson@sccommunitybank.net

VII. OSDBU CONTACT INFORMATION

VII

Remember, OSDBU is here to help YOU start and grow your business.

If you have any questions or need further assistance in any of the areas discussed in this book, please do not hesitate to contact us. Also, please check out the resources offered on the OSDBU website and through the National Information Clearinghouse.

Mailing Address

U.S. Department of Transportation
Office of Small and Disadvantaged Business Utilization
Room W56-485
1200 New Jersey Avenue, SE
Washington, DC 20590

Phone	Fax	Web
(202) 366-1930 1-800-532-1169	(202) 366-7228	www.osdbu.dot.gov

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Ms. Angela Dilver-Dendy, Office Manager

Mr. Gerardo Franco, Chief, Procurement Assistance Division

Ms. DeVera Redmond, Small Business Specialist/Women Business Advocate

Ms. Nancy Strine, Manager, Financial Assistance Division

Mr. Arthur D. Jackson, Manager, Regional Partnerships Division

Ms. Patricia Martin, Analyst, Regional Partnerships Division

Mr. Ferguise "Rick" Mayronne, Manager, National Information Clearinghouse

Mr. Herman Nuñez, Budget Officer

SMALL BUSINESS ADMINISTRATION PROCUREMENT CENTER REPRESENTATIVE (PCR)

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Phone	Fax
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Appendix A: DOT Operating Administrations and Offices

A. Federal Aviation Administration (FAA)

Primary Mission: Oversee safety of civil aviation.

FAA MAJOR RESPONSIBILITIES:

- Issuance and enforcement of regulations and standards related to the manufacture, operation, certification and maintenance of aircraft.
- Rating and certification of airmen and airports serving air carriers.
- Regulating a program to protect the security of civil aviation, and enforce regulations under the Hazardous Materials Transportation Act for shipments by air.
- Operate a network of airport towers, air route traffic control centers, and flight service stations.
- Develop air traffic rules, allocate the use of airspace, and provide for the security control of air traffic to meet national defense requirements.
- Construction or installation of visual and electronic aids to air navigation and promotion of aviation safety internationally.
- License commercial space launch facilities and private sector launches.

The FAA is exempt from the Small Business Act and the FAR. The FAA's Acquisition Management System (AMS) Small Business Program works to provide small businesses and small businesses owned and controlled by socially and economically disadvantaged individuals attainable and reasonable opportunities to participate as prime and subcontractors for products and services procured by the FAA. More information on this program can be found at ***http://amq.mmac.faa.gov/small_business_program_overview.asp***

More Information about FAA at: **www.faa.gov/**

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Mike Monroney Aeronautical Center
Gerald Lewis
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Small Business Innovation Research
Deborah M. Germark
Phone: (609) 485-6320

EASTERN SERVICE AREA

Boston, Massachusetts
Kevin Hart
Phone: (781) 238-7660

New York, New York
Terry Mirro
Phone: (718) 553-3079

Atlanta, Georgia
Emanuel Green
Phone: (404) 305-5721

CENTRAL SERVICE AREA

Kansas City, Missouri
C.O. Shepard
Phone: (816) 329-3118

Chicago, Illinois
Glen Timmerman
Phone: (847) 294-7166

Ft. Worth, Texas
Janice Wheeler
Phone: (817) 222-4333

WESTERN SERVICE AREA

Anchorage, Alaska
Karla Shaw
Phone:(907) 271-5859

Seattle, Washington
Michael Todd
Phone: (425) 227-1179

Los Angeles, California
Barbara "BJ" Fisher
Phone: (310) 725-7550

More Information can be found at: **www.faa.gov/about/office_org/headquarters_offices/arc/ro_center/**

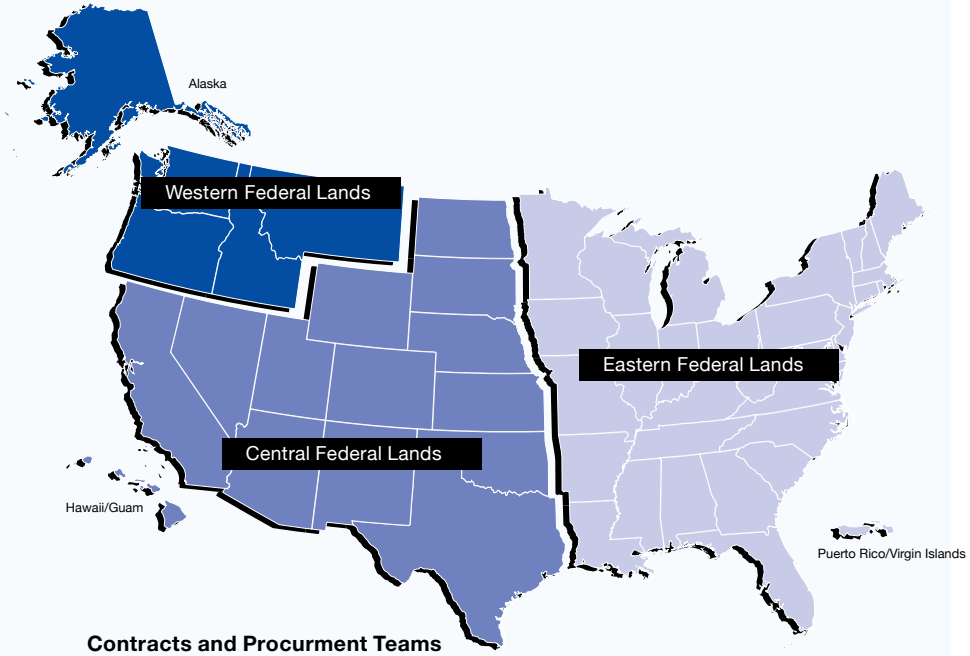
B. Federal Highway Administration (FHWA)

Primary Mission: Coordinate highway transportation programs in cooperation with states and other partners to enhance the country's safety, economic vitality, quality of life, and the environment.

FHWA MAJOR RESPONSIBILITIES:

- Provide federal financial assistance to the states to construct and improve the National Highway System, urban and rural roads, and bridges through the Federal-Aid Highway Program. This program provides funds for general improvements and development of safe highways and roads.
- Provide access to and within national forests, national parks, Indian reservations and other public lands by preparing plans and contracts, supervising construction facilities, and conducting bridge inspections and surveys through the Federal Lands Division.
- Provide program stewardship and transportation engineering services through the Federal Lands Highway Program for planning, design, construction, and rehabilitation of the highways and bridges that provide access to and through federally owned lands.
- Provide financial resources and technical assistance for a coordinated program of public roads that service the transportation needs of federal and Native American lands.
- Provide transportation engineering and related services in all 50 states, the District of Columbia, Puerto Rico, and the US Virgin Islands.
- Manage a comprehensive research, development, and technology program.

The following map shows the different Federal Lands Highway Divisions and the states they cover.



Contracts and Procurment Teams

Eastern Federal Lands Highway Division
21400 Ridgetop Circle
Sterling, VA 20166
Phone: (703) 404-6201

Central Federal Lands Highway Division
12300 West Dakota Avenue
Lakewood, CO 80228
Phone: (720) 963-3500

Western Federal Lands Highway Division
610 East 5th Street
Vancouver, WA 98661
Phone: (360) 619-7520
Email:contracts@mail.wfl.fwha.dot.gov

More Information about FHWA at: **www.fhwa.dot.gov**
More information about Contracting Opportunities with the Federal Lands Highway Program can be found at: **www.fhwa.dot.gov/doingbiz.htm**

SMALL BUSINESS SPECIALIST:

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Washington, DC 20590
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C. Federal Motor Carrier Safety Administration (FMCSA)

Primary Mission: Prevent commercial motor vehicle related fatalities and injuries.

FMCSA MAJOR RESPONSIBILITIES:

- Ensure safety in motor carrier operations through strong enforcement of safety regulations, targeting high-risk carriers and commercial motor vehicle drivers.
- Improve safety information systems and commercial motor vehicle technologies.
- Strengthen commercial motor vehicle equipment and operating standards and increase safety awareness.
- Work with federal, state, and local enforcement agencies, the motor carrier industry, labor safety interest groups, and others.

More Information about FMCSA at: www.fmcsa.dot.gov/

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

Sonya Harmon (acting)
1200 New Jersey Avenue, SE
Suite W66-310
Washington, DC 20560
Phone: (202) 385-2316
Fax: (202) 385-2333
Email: sonya.harmon@dot.gov

D. Federal Railroad Administration (FRA)

Primary Mission: Promote safe and environmentally sound rail transportation.

FRA MAJOR RESPONSIBILITIES:

- Monitor railroad compliance with federally mandated safety standards including track maintenance, inspection standards, and operating practices.
- Conduct research and development tests to evaluate projects in support of its safety mission and to enhance the railroad system as a national transportation resource.
- Administer public education campaigns on highway-rail grade crossing safety and the danger of trespassing on rail property.

More Information about FRA at: www.fra.dot.gov/

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

Dana Hicks
Room W34-304
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 493-6131
Email: dana.hicks@dot.gov

E. Federal Transit Administration (FTA)

Primary Mission: Assist cities and communities nationwide in improving mass transportation systems through grant programs and financial, technical, and planning assistance.

FTA MAJOR RESPONSIBILITIES:

- Help plan, build, and operate transit systems with convenience, cost, and accessibility in mind. While buses and rail vehicles are the most common type of public transportation, other modes include commuter ferryboats, trolleys, inclined railways, subways, and people movers.
- Provide leadership and resources for safe and technologically advanced local transit systems while assisting in the development of local and regional traffic reduction.
- Maintain the National Transit Library (NTL), a repository of reports, documents, and data generated by professionals and others from around the country. The NTL is designed to facilitate document sharing among people interested in transit and transit related topics.

More Information about FTA at: www.fta.dot.gov

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

Ledra Post
Room C42-3181
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-2502
Email: ledra.post@dot.gov

F. Maritime Administration (MARAD)

Primary Mission: Promote development and maintenance of an adequate, well-balanced, United States merchant marine.

MARAD MAJOR RESPONSIBILITIES:

- Ensure that the US merchant marine is sufficient to: 1) carry the nation's domestic waterborne commerce and a substantial portion of its waterborne foreign commerce; and, 2) serve as a naval and military auxiliary in time of war or national emergency.
- Ensure that the United States enjoys adequate shipbuilding and repair service, efficient ports, effective intermodal water and land transportation systems, and reserve shipping capacity in time of national emergency.

More Information about MARAD at: www.marad.dot.gov/

SMALL BUSINESS SPECIALIST:

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Room W26-421
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-2802
Email: rita.thomas@dot.gov

SIMPLIFIED ACQUISITIONS:

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Room W26-421
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-9362
Email: iris.cooper@dot.gov

G. National Highway Traffic Safety Administration (NHTSA)

Primary Mission: Reduce deaths, injuries, and economic losses resulting from motor vehicle crashes.

NHTSA MAJOR RESPONSIBILITIES:

- Set and enforce safety performance standards for motor vehicles and equipment.
- Provide grants to state and local governments enabling them to conduct effective local highway safety programs.
- Investigate safety defects in motor vehicles.
- Set and enforce fuel economy standards.
- Help states and local communities reduce the threat of drunk drivers and promote the use of safety belts, child safety seats, and air bags.
- Investigate odometer fraud.
- Establish and enforce vehicle anti-theft regulations and provide consumer information on motor vehicle safety topics.
- Conduct research on driver behavior and traffic safety to develop the most efficient and effective means of bringing about safety improvements.
- Operate a toll-free Auto Safety Hotline, 1-888-DASH-2-DOT, that provides consumers with a wide range of auto safety information. Callers also can help identify safety problems in motor vehicles, tires, and other automotive equipment, such as child safety seats.

More Information about NHTSA at: www.nhtsa.dot.gov/

SMALL BUSINESS SPECIALIST:

Lloyd Blackwell
Room W51-125
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-9564
Email: lloyd.blackwell@nhtsa.dot.gov

SIMPLIFIED ACQUISITIONS:

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Room W51-125
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-9564
Email: janice.flemming@nhtsa.dot.gov

H. Office of the Secretary of Transportation (OST)

Primary Mission: Oversee the formulation of national transportation policy and promote intermodal transportation.

OST MAJOR RESPONSIBILITIES:

- Negotiation and implementation of international transportation agreements.
- Assuring the fitness of US airlines.
- Enforcing airline consumer protection regulations.
- Issuing regulations to prevent alcohol and illegal drug misuse in transportation systems.
- Preparing transportation legislation.

More Information about OST at: www.dot.gov/ost/index.html

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

Phaedra Johnson
Office of the Secretary
Acquisition Services Division
Room W83-492
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-0742
Email: phaedra.johnson@dot.gov

I. Pipeline and Hazardous Materials Safety Administration (PHMSA)

Primary Mission: Oversee 1) the safety of more than $1 million of daily shipments of hazardous materials by all modes of transportation and 2) the nation's pipeline infrastructure, which accounts for 64 percent of the energy commodities consumed in the United States.

PHMSA MAJOR RESPONSIBILITIES:

- Administer a comprehensive nationwide program designed to protect the United States from the risks to life, health, property, and the environment inherent in the commercial transportation of hazardous materials.
- Assess and manage safety related risks (especially those risks that change over time) by applying a system-based approach to analyze data, make the best decisions, and deploy attention and resources against those risks deemed to be the greatest.
- Work with state and industry partners to collectively address safety problems.

More Information about PHMSA at: www.phmsa.dot.gov/

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

Eric Hilton
Room E22-230
1200 New Jersey Avenue, SE
Washington, DC 20590
Phone: (202) 366-3845
Email: eric.hilton@dot.gov

J. Research & Innovative Technology Administration (RITA)

Primary Mission: The Research and Innovative Technology Administration (RITA) coordinates the DOT research programs and is charged with advancing the deployment of cross-cutting technologies to improve our Nation's transportation system. RITA leads DOT in coordinating, facilitating and reviewing the Department's research and development programs and activities; advancing innovative technologies, including intelligent transportation systems; performing comprehensive transportation statistics research, analysis and reporting; and providing education and training in transportation and transportation-related fields.

RITA MAJOR RESPONSIBILITIES:

RITA brings together important data, research and technology transfer assets of the Department of Transportation, including:

- Bureau of Transportation Statistics (BTS)
- Intelligent Transportation Systems (ITS)
- National Transportation Library (NTL)
- Research, Development and Technology (RD&T)
- Transportation Safety Institute (TSI)
- University Transportation Centers (UTCs)
- Volpe National Transportation Systems Center (Volpe) *See Next Page*

More Information about RITA at: www.rita.dot.gov/

SMALL BUSINESS SPECIALIST AND SIMPLIFIED ACQUISITIONS:

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Acquisition Services Division
Room W83-492
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THE VOLPE CENTER

The John A. Volpe National Transportation Systems Center in Cambridge, Massachusetts, is an internationally recognized center of transportation and logistics expertise. Through research and development, engineering, and analysis, the Volpe Center helps decision-makers define problems and pursue solutions to lead transportation into the 21st century. In essence, the Volpe Center is a catalyst for innovation - a source of critical insight necessary to realize transportation's promising future.

The Volpe Center differs from most federal organizations in that they receive no direct appropriation from Congress. Instead, they are funded 100% through a fee-for-service structure in which all costs are covered by sponsored project work. The Volpe Center assists federal, state, and local governments, industry, and academia in a number of areas, including human factors research, system design, implementation, and assessment, global tracking, strategic investment and resource allocation, environmental preservation, and organizational effectiveness. In these and other areas, the Center provides its customers with valued policy support and strategic planning and analysis

More Information about the Volpe Center at: www.volpe.dot.gov/

SMALL BUSINESS SPECIALIST:

Kristen Laggis Pedroli
Acquisition Management Division, RTV-6D
Volpe National Transportation Systems Center
55 Broadway
Cambridge, MA 02142
Phone: (617) 494-2389
Email: kristen.pedroli@volpe.dot.gov

THE VOLPE CENTER'S DIRECTOR OF THE SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM:

Joseph Henebury
Volpe National Transportation Systems Center
55 Broadway
Cambridge, MA 02142
Phone: (617) 494-2051
Email: joseph.d.henebury@volpe.dot.gov

Note: Under the SBIR Program, small businesses are annually solicited (on or about February 15th) to submit innovative research proposals that address high priority requirements of the Department and have the potential for commercialization. Information (including eligibility requirements) can be found on the SBIR Program page of the OSDBU Website.

K. Saint Lawrence Seaway Development Corporation (SLSDC)

Primary Mission: To serve the marine transportation industries by providing a safe, secure, reliable, efficient, and competitive deep draft international waterway, in cooperation with the Canadian St. Lawrence Seaway Management Corporation.

SLSDC MAJOR RESPONSIBILITIES:

- Construct and maintain navigational structures and aids to navigation.
- Enforce construction standards and safety regulations.
- Operate marine communication and vessel traffic systems.
- Reduce the threat of pollution and ensure an environmentally sound waterway system.

More Information about SLSDC at: www.seaway.dot.gov/

SMALL BUSINESS SPECIALIST:

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Massena, NY 13662
Phone: (315) 764-3236
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SIMPLIFIED ACQUISITIONS:

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Massena, NY 13662
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Appendix B: Federal and State Contacts for the DBE Program

Note: For updated information on DBE contacts, consult www.osdbu.dot.gov/DBEProgram/GuidanceforDBEProgramAdministrators/HowToContactDOT.cfm.

U.S. DOT DBE CONTACTS

For general information about the DBE regulations:
Office of the General Counsel
Bob Ashby
(202) 366-9310

For information on DBE certification appeals:
Departmental Office of Civil Rights
Joe Austin
(202) 366-5992

For information on programs to assist small businesses:
OSDBU
Jerry Franco or Art Jackson
800-532-1169 ext. 61930 or
(202) 366-1930

For information on FHWA's DBE program:
FHWA Office of Civil Rights
Bernetta L. Collins
720-963-3243
JoAnne Robinson
(202) 366-0740

For information on FTA's DBE program:
FTA Office of Civil Rights
Nick Coates
(202) 366-0808
Scheryl Portee
(202) 366-4011

For information on FAA's DBE program:
FAA Office of Civil Rights
Michael Freilich
(202) 267-3259
Elizabeth Newman
(202) 267-7713 ext. 3199

TO REPORT AN ALLEGATION OF FRAUD, WASTE, ABUSE, OR MISMANAGEMENT:

Office of the Inspector General Hotline

1-800-424-9071 (toll free) or (202) 366-1461 (toll)

STATE DOT DBE LIAISONS AND CERTIFICATION OFFICERS

Note: For updated information on DBE contacts, consult www.osdbu.dot.gov/DBEProgram/StateDBELiaisonCertificationOfficers.cfm

ALABAMA

John Huffman
DBE Certification & Supportive Services Coordinator
AL DOT
2720 Gunter Park Drive West
Montgomery, AL 36109-3050
Phone: (334) 244-6261
Fax: (334) 263-7586
Email: huffmanjo@dot.state.al.us

Clarence Hampton
Compliance Manager
AL DOT
1409 Coliseum Boulevard
Montgomery, AL 36130-3050
Phone: (334) 242-6340
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Email: hamptoncl@dot.state.al.us

ALASKA

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Manager, Civil Rights Office
AK DOT
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Anchorage, AK 99519-6900
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Fax: (907) 269-0847
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Jamie Graves
Certification Program Manager
AZ DOT
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Phoenix, AZ 85009
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James Moore
Section Head EEO/DBE
AR State Highway and Transportation Department
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Phone: (501) 569-2298
Fax: (501) 569-2693
Email: james.moore@arkansashighways.com

CALIFORNIA

Olivia Fonseca
Deputy Director
Civil Rights Program, MS-79
CALTRANS
1823 14th Street
Sacramento, CA 95811
Phone: (866) 810-6346
Fax: (916) 324-1949
Email: olivia.fonseca@dot.ca.gov

Janice Salais
Chief, Office of Certification
Civil Rights Program, MS-79
CALTRANS
1823 14th Street
Sacramento, CA 95811
Phone: (866) 810-6346
Fax: (916) 324-8760
Email: janice.salais@dot.ca.gov

COLORADO

Greg Diehl
Supervisor, DBE Certification
CO DOT
4201 East Arkansas Ave.
Denver, CO 80222
Phone: (303) 757-9599
Fax: (303) 512-4146
Email: greg.diehl@dot.state.co.us

CONNECTICUT

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Director,
Office of Equal Opportunity Assurance
CT DOT
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Fax: (860) 594-3016
Email: diane.donato@po.state.ct.us

Debra Goss, Manager
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CT DOT
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Phone: (860) 594-2169
Fax: (860) 594-3016
Email: debra.goss@po.state.ct.us

DELAWARE

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DBE Program Manager
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DISTRICT OF COLUMBIA

Danette Walker-Mincey
Chief, Office of Integrity and
Workforce Relations
District Department of Transportation
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